

S E C R E T

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Tab F-4

Comments and Recommendations

Administrative Branch

(Support Staff)

Comments:

1. General:

- a. The organizational structure of the Branch appears to be satisfactory. The proposed T/O, which reflects the combined military and civilian operating strength, adds one position to the Administrative Branch, that of Military Personnel Officer. This is not an actual addition since the position is and has been filled by an active duty military man. The T/O should be adequate, though not excessive. This conclusion is based on experience with corresponding elements having similar functions and workloads. Functional statements are proposed which define the responsibilities of the Branch.

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2. Personnel Section:

- a. An examination of OTR components disclosed an excessive amount of mis-slotting - personnel assigned to positions and grades in one element and actually working elsewhere. Many of these instances were corrected during the process of the survey. There has been some excuse for this situation, since the official T/O and position descriptions were approved for an internal OTR organization which was very different from the structure in effect at the time this survey was initiated. With the approval of the organizational structure and T/O proposed by this survey there should be little excuse for any mis-slotting or assignments out of category, grade or structure. Physical transfers can be preceded, or immediately followed, by the necessary personnel action documents to effect an official transfer.
- b. There is some evidence of the transfer of persons to positions of a different category and higher grade, while the individuals continued to work in the former positions. Such actions are, in effect, a violation of the principle of classification control and should be avoided. In instances where it is believed that a position is underclassified the matter can be resolved by a re-evaluation by AD/P - Classification and Wage. Individuals having abilities beyond their present assignment level can be transferred into other fields where the functions and duties carry a higher wage value.

3. Budget and Fiscal Section:

Before discussing the operation of this element, it is appropriate to quote the following regulations:

Par. G(2), CIA Reg.

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"The responsibility for controlling obligations against an allotment rests with the allottee (in this instance, the Director of Training) who will be held responsible for any obligation or expenditure made or authorized. It is incumbent upon all Agency officials to make no commitments involving the payment of appropriated funds until appropriate reservations of funds have been established in advance by the Comptroller. Over-drafts in the allotment accounts resulting from failure to obligate funds in advance may indicate violations of Agency funds control regulations and if sustained are subject to penalties of law." (Sect. 3679 Revised Statutes.)

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Par. G(3), CIA Reg.

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"In order to comply with Agency regulations and avoid over-drafts, it will be the responsibility of each allottee (in this instance, the Director of Training) to establish such internal procedures, administrative instructions, and limitations of authority within his office as may be necessary to assure that obligations incurred are kept within funds available therefor."

Par. 3-b-(1)-(2)-(3) - C.F. Reg. 30-110

"It is the responsibility of each individual who incurs an obligation to ensure that an allotment is available against which the obligation should be charged, that this allotment includes sufficient unobligated funds to cover the obligation, and that the obligation is within the scope of Agency Regulations and is properly authorized.

It will be the responsibility of each allottee (in this instance, the Director of Training) to prevent over-obligation of the allotments under his jurisdiction and to take appropriate corrective action if it should become apparent that over-obligation or overexpenditure of available funds (allotments) might occur.

Allottees will maintain obligation records in the detail necessary to prevent such overobligation of the allotments under their jurisdiction."

CIA Reg.

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This entire regulation is pertinent to the obligation and expenditure of unvouchered funds.

a. In view of the responsibilities placed upon the Director by the above regulations, the general trend towards economy, and the tendency on the part of outside groups to inquire more fully into the handling of Agency funds, it is imperative that the budget/finance/fiscal system of OTR be fully adequate and accurate and provide current balances in each of the allotments made to OTR.

b. A preliminary survey of the Budget and Fiscal Section disclosed the following:

(1) There was no single form, or register, on which allotment, obligations, expenditures, adjustment of obligations, transfers and current balances were reflected adequately. Numerous

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card files, forms and ledgers were maintained to reflect the different actions but there was no evidence that the figures were, or could be, used to liquidate specific obligations or to obtain daily balances of unobligated funds.

- (2) There was evidence that a very considerable portion of OTR obligating documents do not pass through the Budget and Fiscal Section for obligating and certification before the fact. It is entirely possible that many such documents never reach the Budget and Fiscal Section. Payrolls, including overtime, were not obligated.
- (3) There appeared to be no method of assuring that all expenditures were recorded.
- (4) The IBM Listing furnished by the Comptroller was exhibited as the basic record of the Office. It was stated that obligation records of the office could be reconciled with the Comptroller's IBM Listing to get a current balance. There were no check marks or other indications of any attempts at such verification.
- (5) The IBM Listing is not available until the middle of the succeeding month. It should be used as a means of verifying the allottee's own records. It is practically useless to an allottee as an instrument for determining whether or not funds are available prior to the establishment of an obligation.
- (6) Further examination of the Budget and Fiscal Section was dropped until such time as an adequate system is, or is to be, installed.
- (7) In view of previous surveys of similar elements, it is believed that the T/O of four people proposed for this Section is sufficient to operate a fully adequate control system, provided that outside activities, now the responsibility of the Budget and Fiscal Officer, are relocated. 25X1
- (8) [Redacted]

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to the Office of the Chief, Administrative Branch, thus freeing the Budget and Fiscal Officer for attention to his primary responsibilities.

- (9) There are many simple systems which could be adapted to OTR needs. The Agency furnishes one standard system (Form 59-106, 1 May 54) which was approved by the Comptroller for use in the DD/P budget/fiscal elements. This form is equally well adapted to OTR needs and would provide on one form a simple, direct and complete method of allotment control. Firm directives should be issued to assure that each obligating and expenditure document passes through the Budget and Fiscal Section for examination, recording, and certification as to funds availability, before any obligation is incurred.

4. Registration Section:

- a. This Section provides the registration service to OTR and is primarily a record keeping, and filing operation. At the time the Section was examined one of the five authorized positions had been vacant for some time. This fact, coupled with a special effort towards files consolidation, was given as the reason for some rather steady overtime usage. A prospect is in process for the vacant position.
- b. In view of the clerical detail in this operation, the many filing systems, and the number of schedules and reports that are produced, it is believed that a comprehensive procedures and forms survey in this Section would prove worthwhile. Such a survey would very likely disclose overlapping and duplicating data, reports, files, tasks, etc. In the absence of such detail information, no recommendations are made.

5. Supply and Services Section:

- a. The duties of this Section appeared to be very well distributed to the personnel. The proposed T/O is increased by one position, a clerk/typist, to take care of a girl who has been operating in the Section on loan from the Office of the Branch Chief. It represents no actual increase in working strength. The Section will continue to be a catch-all for a number of service and housekeeping tasks not appropriately chargeable to the other Sections of the Branch.
- b. The preparation of OTR Travel Orders and the corresponding Travel Vouchers had been centralized in this Section. The centralized preparation of Travel Orders, though not usually a good

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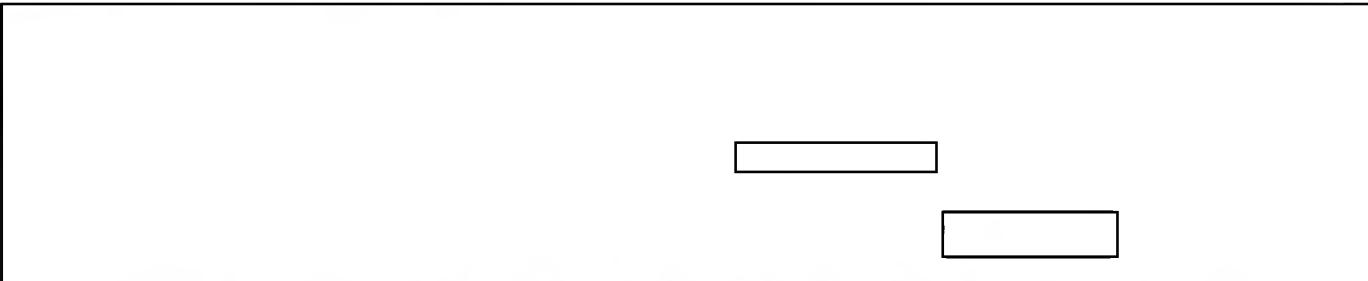
practice, appeared to have some merit in OTR because (1) personnel from other Agency components travel on OTR funds and are not familiar with the necessary OTR format, (2) student travel is at varying per diem rates, and (3) cover conditions vary with each situation. However, it is believed that the transfer of Travel Order preparation, with the position and incumbent concerned, from this Section to the Budget and Fiscal Section would be advantageous. Processing steps and time could be saved and the preparation, obligation and certifying of the Orders could be accomplished as one operation, plus the advantage of having the clerk who wrote and obligated the Orders also examine the Vouchers and record the expenditure.

- c. There appeared to be no good reason to continue the centralized preparation of Travel Vouchers. This method requires duplication of effort, creates delays and takes a responsibility from the traveler which is basically his; namely, to account for his advances and/or to collect money due him.

Recommendations: It is recommended that:

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2. Upon approval of the proposed OTR organization and corresponding staffing patterns, (1) the practice of mis-slotting be discontinued, (2) action documents be processed promptly on any authorized transfer of persons or positions, and (3) routine operating matters be made the responsibility of the appropriate Section Chief, with all contacts with higher authority restricted to channels - Section Chief to Branch Chief to Support Staff Chief, etc. - with appropriate screening and decision at each level.
3. An adequate allotment control system immediately be installed and reconciled with the Comptroller's records so that the Director may fulfill his regulatory responsibility as the allottee for OTR funds.

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4. Responsibility as Cast Officer [redacted] and other non-fiscal duties referred to in Comments above be transferred from the Chief, Budget and Fiscal Section and assigned within the Office of the Chief, Administrative Branch.
5. The centralized preparation of Travel Vouchers be discontinued and this responsibility be returned to the individuals performing the travel.
6. The Chief, Administrative Branch, study the feasibility of transferring the function of Travel Order preparation, and the position and incumbent concerned, to the Budget and Fiscal Section, and make recommendations to the Executive Officer.
7. A complete procedural and systems survey of the Registration Section be conducted to determine possible simplification, eliminations, consolidations, etc.
8. The Chief, Administrative Branch, continue an aggressive campaign to reduce the use of overtime in OTR Headquarters elements.